



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#3
6-28-02

Applicants: John M. Adams, David G. Reuter, Mark L. Mathis, and
Scott J. Wolf

Serial No.: 10/003,910

Filing Date: November 1, 2001

Title: FOCUSED COMPRESSION MITRAL VALVE DEVICE AND
METHOD

Examiner/Unit: Unknown / 3762

Attorney Docket No.: 1931-6-3

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CERTIFICATE OF TRANSMISSION BY FACSIMILE

Date of facsimile transmission: April 2 2002

I hereby certify that this correspondence is being transmitted via facsimile to
Fax number (703) 872-9301 Examining Unit 3762 on the date indicated below
and is addressed to the Commissioner for Patents on this 2nd day of April,
2002.

Kelly Pedersen

REQUEST FOR CORRECTION OF FILING RECEIPT

ASSISTANT COMMISSIONER FOR PATENTS
APPLICATIONS PROCESSING DIVISION
CUSTOMER CORRECTION BRANCH

Status:

A Filing Receipt for the above-referenced patent application has been issued by the
PTO. The Filing Receipt sets forth an inaccuracy concerning the present application. The
instant request provides the PTO with correct data so that the records for this patent
application may be appropriately updated.

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The Filing Receipt contains an error in the Applicant(s) section. The Filing Receipt states that the second inventor is David G. Reufer, which is incorrect. A copy of the patent application transmittal letter and Declaration and Power of Attorney are enclosed which clearly states that the correct spelling of his name is David G. Reuter.

A copy of the PTO's Filing Receipt is included with this request. Reference to the Filing Receipt and the enclosed documents should provide the Office with sufficient evidence to support Applicants' request for correction.

A correction of the Filing Receipt is respectfully requested in this regard.

Should the Customer Correction Branch have any questions concerning this Request For Correction of Filing Receipt, a call to the undersigned is strongly encouraged.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP



Richard O. Gray, Jr.
Attorney for Applicant
Registration No. 26,550
155-108th Avenue N.E., Ste 350
Bellevue, WA 98004-5901
(425) 455-5575



Page 1 of 2

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/003,910	11/01/2001	3782	859	1931-B-3	5	65	5

CONFIRMATION NO. 7716

FILING RECEIPT



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Richard O. Gray, Jr.
GRAYBEAL JACKSON HALEY LLP
Suite 350
155-108th Avenue NE
Bellevue, WA 98004-5901

Date Mailed: 01/14/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

John M. Adams, Sammamish, WA;
David G. ~~Reuter~~, Bothell, WA;
Mark L. Mathis, Kirkland, WA;
Scott J. Wolf, Bellevue, WA;

Reuter

Assignment For Published Patent Application

Cardiac Dimensions, Inc.;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 01/11/2002

Projected Publication Date: 05/01/2003

Non-Publication Request: No

Early Publication Request: No

** SMALL ENTITY **

Title

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Focused compression mitral valve device and method

Preliminary Class
607

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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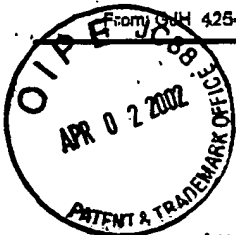
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

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NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: 1931-8-3

CERTIFICATE OF MAILING OR TRANSMISSION

"Express Mail" mailing label number: ET450405865US

Date of Deposit: *November 1, 2001*

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under 37 CFR, Section 1.10 on the date indicated above and is addressed to Box Patent Application, Commissioner for Patents, Washington, D.C. 20231 by

Stephanie Coy
Signature

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BOX PATENT APPLICATION
ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, DC 20231

Sir,

Enclosed for filing is the patent application of:

Inventors: John M. Adams, David G. Reuter, Mark L. Mathis, and Scott J. Wolf

Title: FOCUSED COMPRESSION MITRAL VALVE DEVICE AND METHOD

Including:

- ☒ 1. A specification including claims consisting of 31 pages.
- ☒ 2. Drawings consisting of 5 sheets.
- ☒ 3. Declaration and Power of Attorney.

Additionally:

- ☒ 4. An assignment of the invention to Cardiac Dimensions, Inc. is attached.
- ☒ 5. Applicant claims small entity status.
- ☒ 6. A filing date in accordance with 37 CFR 1.10 is requested (Express mail certificate is part of this transmittal letter).

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X 7. COMPUTATION OF FEE

Claims	Number Filed	Number Extra	Basic Fee \$740/ \$370
Total	65 -20=	45	x\$18/ \$9 = \$405.00
Indep.	5 - 3=	2	x\$84/ \$42 = \$84.00
Multi Dep.	xxx	xxx	x\$260/\$130=

TOTAL Filing Fee: \$859.00Assignment Recording Fee (\$40.00): \$40.00

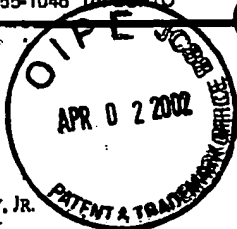
- X 8. Check No. 17847 for \$859.00 for filing fee is enclosed.
X 9. Check No. 17848 for \$40.00 for assignment fee is enclosed.
 ___ 10. No fee is enclosed at this time.
X 11. Charge any additional fees to Deposit Account No. 07-1897.
X 12. A copy of this letter is enclosed.
X 13. A postcard is enclosed as acknowledgment of receipt of this application.

Respectfully submitted,

GRAYBEAL JACKSON HALEY LLP

Richard O. Gray, Jr.

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 Registration No. 26,550
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 Bellevue, WA 98004-5901
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Receipt

LAW OFFICES OF

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FACSIMILE MESSAGE - COVER SHEET

To: Unit 3762

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Company: USPTO

Your Ref: 10/003,910

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No. of pages following: 10

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From: Richard O. Gray, Jr.

Our Ref: 1931-6-3 (Cardiac Dimension

Regarding: Request for Correction of Filing Receipt

Message: Please see attached.

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TO 3700 MAIL ROOM

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